



CAL-ACCESS Replacement System Project

California Secretary of State

Master Project Management Plan

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1 Introduction

In 1974, California voters approved Proposition 9, the Political Reform Act of 1974 (PRA). The PRA requires, among other things, the disclosure of campaign contributions and expenditures, and state lobbying activity, so that receipts and expenditures in election campaigns are fully disclosed so voters may be fully informed, improper practices may be inhibited, activities of lobbyists are regulated and their finances disclosed in order that improper influences will not be directed at public officials.

In 1997, the PRA was amended to include the Online Disclosure Act, a measure that paved the way for electronic and online submission of campaign and lobbying disclosure information over the Internet. This Act had the following two primary objectives:

- Providing greater public access to vitally important information and
- The gradual elimination of paper filings of campaign finance and lobbying activity statements and reports.

The Online Disclosure Act led the Secretary of State (SOS) to develop and deploy a public website called the California Automated Lobby Activity and Campaign Contribution and Expenditure Search System (CAL-ACCESS), which is the public's window into California's campaign disclosure and lobbying financial activity.

To interpret and enforce the requirements of the PRA, the Fair Political Practices Commission (FPPC) was established. The FPPC has primary responsibility for the impartial administration, implementation and enforcement of the PRA. The Franchise Tax Board (FTB) is responsible for carrying out mandatory and random audits of filers and the disclosure data filed with the SOS. All three agencies rely heavily on CAL-ACCESS, and work cooperatively and collaboratively to fulfill mandated duties.

To assure the highest standards of data integrity and timeliness, the Political Reform Division (PRD) was established within the SOS to administer state filing requirements set forth in the PRA. The PRD, staffed with 29 full-time positions, conducts a broad range of program activities to facilitate and monitor compliance with reporting requirements and to provide public access to all data and filings. Filing requirements for campaign committees and lobbying entities provide for two basic steps – registration and reporting. Three dozen different forms that capture specific information based on committee or lobbying entity type and activity are used for these purposes. Over the last four two-year election cycles, the PRD has averaged approximately 97,000 campaign and lobbying filings in election years and 61,000 campaign and lobbying filings in non-election years. Since 1999, the earliest stages of CAL-ACCESS development, more than 1.2 million filings have been processed. A filing is a report or statement that can range in size from a single page to thousands of pages.

In addition, the PRD is required to publish biennially a Lobbying Directory that includes identifying information on registered lobbyists, lobbying firms, and lobbyist employers and clients.

1.1 Project Need

CAL-ACCESS, which is mission critical for the SOS' administration of the program, is an amalgamation of component applications that were developed at different times using multiple, now obsolete, coding languages, platforms, and technologies. CAL-ACCESS users and stakeholder groups have identified the following business problems:

- Program business operations are negatively affected by the current system design.
- Program business operations are at risk due to an old, unsupported information technology platform.
- PRD and stakeholders have limited information access and reporting capabilities.

The SOS has undertaken the CAL-ACCESS Replacement System (CARS) Project to implement a new system to replace CAL-ACCESS. In September of 2016, the Governor approved Senate Bill (SB) 1349. The bill directs the SOS to develop an online, data-driven filing and disclosure system for use no later than February 1, 2019. The legislation provides one-time option for SOS to request extension of the system implementation date to December 2019. The legislation also directs the SOS to consult with stakeholders and hold a public hearing to receive input about developing the online filing and disclosure system.

1.2 Purpose

The objective of the CARS Project Management Plan (PMP) is to define the approach used by the CARS Project Team to plan, execute, monitor, control, and close the project. It is a working guide on how to manage and control the activities of the project, the System Integrator (SI) contractor, and other supporting teams throughout the project lifecycle.

1.3 Scope

The PMP documents the CARS Project scope and deliverables, the overall timeline and required resources, the organization that will deliver the project, and how project management responsibilities are divided between CARS Project management within the office of the SOS and the envisioned contractor project management team. It also documents the processes and methodologies that the CARS Project Manager will use to control and monitor the project.

This plan also refers to other plans, that when taken together, define how all aspects of the project are managed. These plans include:

- Communication Management
- Risk Management
- Issue Management
- Change Control
- Schedule Management
- Cost Management
- Quality Management
- Contract Management
- Resource Management

- Document Management

1.4 Glossary and Acronyms

The CARS Project Glossary comprises project-specific terms and acronyms and is maintained in the CARS Project library at the following location:

<<Redacted>>

1.5 Document Maintenance

Updates to the PMP typically occur in two situations: at a major phase/milestone checkpoint in which the project provides for planned reviews and/or lessons learned, or as a result of significant change in scope. The CARS Project Manager reviews this document at the beginning of each project phase and updates it as needed throughout the project life cycle. When changes are made, the document reviser updates the document's revision history log with an updated version number as well as the date, the name of the person making the change, and a change description.

All versions of this document are maintained throughout the life of the project in the Project Library and can be found here:

<<Redacted>>

The CARS Document Management Plan explains how the project library is structured and the process for managing document versioning.

Overall the CARS Project uses the California Department of Technology's California Project Management Framework (CA-PMF) developed by the California Project Management Office (CA-PMO), as a guide for establishing Project Management Plans, processes and templates. The Project also uses the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK®) standards and practices to guide management of the CARS Project. The CARS Project combines these best practices with the SOS Project Management Office standards, practices, and templates to develop all applicable plans, processes and other Project Management Artifacts for the management of the project.

1.6 References

The following documents were used as reference documents when creating the PMP:

- Project Management Institute's Project Management Book of Knowledge (PMBOK) 5th edition)
- Office of Systems Integration Master Project Plan Template
- California Department of Technology, CA-PMF Project Plan Template
- CARS Stage Gate Analysis Artifacts
- CARS RFO

- CARS Project Management Plans including but not limited to CARS Change Management Plan, CARS Risk Management Plan, and CARS Issue Management Plan.

2 Project Planning

2.1 Project Planning

CARS will execute project management methodologies based on the State Information Management Manual (SIMM) Section 17 – California Project Management Framework (CA-PMF) policies in place in March 2017. To the extent practical, the methodologies will be continually adjusted to be consistent with the state's SIMM Section 17.

The project management approach will be applied, at a minimum, to the following CARS project phases:

- Pre-procurement Planning
- Phase I – Project Initiation and Planning
- Phase II – System Requirements Confirmation, Architecture and Design
- Phase III – System Development, Testing and Deployment
 - Incremental Release Cycles
 - Wireframe designs
 - Development
 - Testing
 - Final Deployment and Cutover
- Phase IV – First Year Operations and Close-out

The initial phase of the project is **Pre-procurement Planning**. The objective of this phase is to establish project governance and project management methodology for the CARS Project. Processes established in this phase, aim at establishing project management standards and managing CARS project activities through the SI procurement. In this phase, the project also aims at developing CARS functional and non-functional requirements along with other project artifacts required for issuing SI solicitation.

The first phase of the project is **Project Initiation and Planning**. The objective of this phase is to lay the foundation for the CARS project by identifying the project team and developing a detailed project plan and work breakdown structure. In addition, the key project management processes needed to monitor and guide governance of the project are developed and execution initiated. These processes include status reporting, risks, issue tracking and resolution, scope management, change control and quality assurance. A key activity during this phase are developing baseline of project's processes, performing a kick off and developing the SI's Integrated Project Schedule (IPS).

The second phase of the project is **System Requirements Confirmation, Architecture and Design**. The objective of this phase is to reaffirm the system requirements, create the system architecture and design using the outputs from requirements collection and design confirmation workshops and prototyping efforts as available. Key activities during this phase include

development and finalization of the System Requirements Specification, System Technical Architecture, Data Model, Data Dictionary and System Design Specifications.

The third phase of the project is **System Development, Testing and Deployment**. The objective of this phase is to develop and implement the system in multiple incremental release rollouts. During this phase, the technical environments will be established and the application components will be developed and tested. Key activities during this phase include development of development of the system source code, testing and deployment of the release components. The testing activities will include Unit Testing, System Testing, Integration Testing, Performance Testing, Security Testing and User Acceptance Testing. The key objective during Testing is the execution of test scripts to test the business and technical requirements established in the Design and Development stages. Interfaces, reports, and conversion data are tested, security profiles are created, and testing, training, and production environments are established to prepare for cutover to production business operations.

After the incremental releases, the project moves to the **Final Deployment**. The objectives of this stage include preparation for and execution of system and business cutover to the new environment. This includes deployment configuration and releasing developed objects to production, final system testing, user training, delivery of the production application and the transition of support and knowledge to SOS staff at cutover.

In addition to the Software Development Life Cycle (SDLC) phases, there are parallel processes being executed. The parallel processes include Project Management and Control, and Organization and Change Management. The objectives of the **Project Management & Control processes** are to provide the infrastructure and the tools for planning, integrating, and managing CARS. Conducting regular project status meetings and tracking risk, issues, and scope are some of the activities that will ensure the objectives of this thread are being achieved.

The objectives of the **Organization & Change Management** process are to build organizational readiness, adoption, and capabilities within the impacted organization for the CARS solution. Communicating the appropriate messages in a timely manner to the appropriate stakeholders and training users, are key activities that must be performed throughout this thread to ensure that the objectives are being achieved. Change management processes will be carried out by a combination of several activities such as end-user training, process transition and knowledge transfer activities. The detailed approaches and documents for each of these activities are developed separately as the project progresses.

2.2 Project Teams

The SOS CARS Project Team comprises of the Project Management Office (PMO) Team and the Core Team. The PMO is led by the CARS Contractor Project Manager (Lead PM); with an additional SOS staff Project Manager. The Core Team is made up of Subject Matter Experts from the Political Reform Division (PRD) representation from the Information Technology Division (ITD), a contract Enterprise Architect, contract Business Analysts, contract Organization Change Management Lead, contract Security Auditor and contract Test Lead.

In addition to the dedicated CARS PMO and Core team, the Secretary of State Political Reform and IT Departments will provide resources as Subject Matter Experts (SMEs) utilized in different stages of the project. Lastly, the Project Director, Political Reform Division Chief, Project Sponsor, IT Division Chief, oversee project activity and provide the approval for deliverables and key decisions.

Specific roles and responsibilities for the members of the entire Project Team are further defined in the CARS Human Resource Management Plan. The Lead PM is responsible for working with the SI PM in the management of the CARS deliverables and schedule. The Lead PM is also responsible for managing the SOS' contractors (including the Enterprise Architect, Business Analysts, Security Auditor, and User Acceptance Tester) to ensure the work these team members need to accomplish are completed in a timely manner. The Lead PM is held accountable for the management of the project and has access to these and other resources he or she needs to make it successful.

The Organization Chart in Figure 1 shows the relationship between the SOS and the SI project teams. The SOS Lead PM oversees the SI efforts toward deployment, but does not manage these efforts. SI's PM is responsible for ensuring the SI team does all it needs to do to deploy CARS on time. The two PMs work together and stay in continuous communication to ensure the timely and successful implementation of CARS.

Figure 1: CARS Organization Chart
<<Redacted>>

2.3 Scope Management

2.3.1 Scope Statement

The scope of this project is the planning, procurement, development, testing, and implementation of a CAL-ACCESS replacement system that allows campaign and lobbying entities to meet the filing requirements of the PRA more efficiently, improves data quality, expands public access to data, allows for system modifications and improvements to respond to statutory and regulatory changes; allows other system modifications to improve filer efficiency and public access to data, and improves the ability of the SOS, the FPPC and the FTB to fulfill mandated duties. The scope of the project includes development of the following:

- Developing a CAL-ACCESS Replacement System that is based on an architecture that is extensible such that it is, to the extent feasible, compatible with potential future capability to accept statements from filers that currently file at the city or county level.
- Managed data migration
- Training programs, materials, facilitation, and delivery mechanisms for the SOS IT and the PRD staff, the FPPC, FTB staff, and filers
- User guides or manuals that facilitate public access to data
- Help Desk services for system users, as necessary
- Recommendations and analyses supporting the legislative or regulatory changes that will be required to allow the desired functionality

The CARS System will replace six major functional components as described in Table 1 below:

Table 1: Major Functional Components of the CARS System

Sub-System	Overview
Public Disclosure	<ul style="list-style-type: none"> • Designed as the public facing interface to campaign and lobbying registration and disclosure information • Provides easy access to information for Filers and the General Public
Cal-Online	<ul style="list-style-type: none"> • Provides filers with the ability to electronically file campaign and lobbying registration and disclosure statements
Electronic Filing System (EFS)	<ul style="list-style-type: none"> • Accepts and validates electronic filings from filers through vendor software or Cal-Online.
Agency Management System (AMS)	<ul style="list-style-type: none"> • The AMS was developed to support the PRD staff and provide easy access and functionality to the database. • The PRD receives an average of 4,000 new campaign registrations per year (410 forms). 3,900 forms are submitted in hard copy. 9,000 to 15,000 Amendments are filed each year. <ul style="list-style-type: none"> ○ Some information submitted electronically is re-entered into the system once the hard copy forms are received by PRD. PRD staff works with the hard copy – not the electronic submission.

Sub-System	Overview
CARES	<ul style="list-style-type: none"> A secure website that provides the same information as Public Disclosure website with the addition of confidential information For use by the PRD Stakeholders (e.g., FPPC, FTB) to obtain information for the purposes of audit and filing compliance investigations
Searchable	<ul style="list-style-type: none"> Created to add additional reports for Public Disclosure Uses the Search database which synchronizes with Claims database every 15 minutes

2.3.2 Scope Management

The key to controlling project scope will be scheduled reviews and status meetings including the SI, Project Team, and Executive Steering Committee. This includes phase and deliverable reviews by IV&V, SOS stakeholders and subject matter experts.

The CARS SI scope is detailed in the CARS SI RFO, and will be confirmed and baselined during the Project Planning and Initiation Phase, during which the vendor will create Deliverable Expectation Documents (DEDs) to document deliverable content, format, and acceptance criteria for the first phase. Independent oversight consultants are being procured to provide an unbiased and independent assessment of the quality of the State documents and SI deliverables to ensure they meet their intended use, are internally and externally consistent, meet required quality, and are clear and complete. The Independent Project Oversight Consultant (IPOC) will assess the quality of the project management deliverables in compliance to industry standard and best practices, and the Independent Verification and Validation (IV&V) consultant will verify and validate that CARS meets specifications and that it fulfills its intended purpose.

Finally, the Change Control process defined in the CARS Change Management Plan defines the formal process for assessing, tracking, and effecting changes to the original scope, schedule, or budget for the CARS Project. A change control board (CCB) is being established to consider proposed changes at regular intervals throughout the project life cycle and make binding decisions to accept or reject them. The CCB establishes and enforces realistic change control policies and will compare the priority of each proposed requirement change against the body of requirements remaining to be implemented.

2.3.3 Work Breakdown Structure

This section is updated when more information is available from the CARS SI. The overall CARS project is implemented in the following phases as defined in the CARS SI RFO:

Phase 0 – Ongoing Process Tasks and Deliverables (Ongoing throughout all Phases)

- 0.1) Project Control and Status Reporting
- 0.2) Maintain and Update Project Management Plans (as appropriate)
- 0.3) Bi-Weekly Project Management Reports and Attend Weekly Project Meetings
- 0.4) Attend Project Meetings (as required)

- 0.5) Ongoing Issues Management and Risk Tracking
- 0.6) Written Monthly Project Status Reports
- 0.7) Change Control Processes
- 0.8) Communications Processes
- 0.9) Organizational Change Management Processes
- 0.10) Final Report for each phase

Phase I - Project Initiation and Planning

- I.1) CARS Project Kick-Off Meeting
- I.2) CARS Project Management Plan
- I.3) Integrated Project Schedule
- I.4) Quality Management Plan
- I.5) CARS Test Plan
- I.6) System Configuration Management Plan
- I.7) Data Integration Plan Support
- I.8) Training Plan
- I.9) Requirements Traceability Matrix Plan
- I.10) Phase 0 Ongoing Process Tasks and Deliverables

Phase II – System Requirements Confirmation, Architecture and Design

- II.1) System Requirements Specification Documentation
- II.2) System Technical Architecture Documentation
- II.3) System Data Model and Data Dictionary
- II.4) Detailed System Design Specifications
- II.5) System Detailed Requirements Traceability Matrix
- II.6) Phase 0 Ongoing Process Tasks and Deliverables

Phase III – System Development, Testing, and Deployment

- III.1) Unit Testing (UT) and Code Review Completion
- III.2) System Configuration and System Testing (ST) Completion
- III.3) Data Integration Completion and Report
- III.4) Develop CARS System Training Materials and Complete Training
- III.5) CARS End-to-End Acceptance Testing Completion and Final Deployment
- III.6) Phase 0 Ongoing Process Tasks and Deliverables

Phase IV - First-Year Operations and Closeout

- IV.1) Monthly Operations Support and Performance Reports
- IV.2) Final System Documentation and Source Code
- IV.3) Unanticipated Changes for M&O

2.3.4 Deliverable Review Process

As defined in the RFO for each phase, deliverables will be submitted to the CARS Project Team for acceptance. Each Deliverable, when ready for delivery, is placed in the project library. The CARS Project Director is responsible for the deliverable acceptance. The CARS Project

Manager and the CARS Contract Manager initiate the review and approval process with the appropriate CARS stakeholders.

A Comments Tracking Sheet (CTS) template is available in the project library. This template is used by all CARS Team members and other reviewers to provide comments on the review of the Deliverables. Once completed, the CTS will be placed in the project library so that it is available to team for review.

On submission of a deliverable, subject to acceptance, the SOS has ten business days, unless otherwise agreed to or documented in the DED, to review and provide formal feedback and approve/reject the submitted deliverable. An additional six business day grace period exists following the formal Deliverable Acceptance Status (DAS) due date, and upon expiration of this grace period, the change control process will be initiated. If the deliverable is a DED itself, the SOS has six business days (unless otherwise agreed upon) and the five day grace period, if needed, to provide a DAS. A deliverable or DED can be rejected if it fails to substantially conform to its specifications and is identified as of significant concern below. Any rejection notice include a detailed description of the basis for such rejection.

Feedback and comments are reviewed by the project team and entered into the CTS for the deliverable. There are three severities and one N/A option that can be assigned to a comment, and the descriptions are listed below:

- Severity 1 – Important concept, process, or other deliverable content is missing or defined incorrectly.
- Severity 2 - Concept, process or other deliverable content is not complete.
- Severity 3 - Formatting, presentation, or minor content issue hinders the intended interpretation of the deliverable.
- N/A - Minor formatting, editing, presentation, or grammatical issue. Also includes any question or general comment that does not require a correction to occur.

Should a comment be of high enough severity to warrant a rejection or conditional acceptance, the SI revises and corrects the deliverable within five (5) business days. The CARS Project Team has an additional four (4) business days to review the resubmitted deliverable. This cycle may be repeated no more than two times prior to escalation to the Executive Steering Committee for resolution.

The SI has the opportunity to comment on the feedback and may decide to accept or reject the feedback. If the system integrator decides to reject the feedback, an explanation must be given. If the feedback is accepted, an explanation or action that needs to be taken is documented. The updated sheet is used by the CARS Project Team to perform the subsequent round of reviews.

A deliverable acceptance criterion for each specific system integrator deliverable is developed by jointly by the SOS Project Management Office and the vendors in the respective DED.

Refer to the SOS Deliverable Review Process document for more details.

2.3.5 Formal Acceptance of Scope

The approval of the CARS Project Charter, last updated December 23, 2016, Stage 1 Business Analysis submitted to the Department of Technology on December 28, 2015 and the CARS Stage 2 Preliminary Assessment Submitted to the California Department of Technology on July 14, 2016 constitute formal acceptance of the project scope by the SOS.

2.4 Schedule Management

The CARS Project Manager maintains the interim Project Schedule till the System Integrator vendor is on board. The SI consolidates and maintains the CARS Integrated Project Schedule (IPS), which includes status updates from all vendors and the SOS. This schedule is updated bi-weekly and has a series of reports to maintain quality. This consolidated schedule allows for a single plan to show project status and cross-team dependencies for effective schedule management.

Refer to the CARS Schedule Management Plan for further detail on this process.

2.5 Cost Management

Project costs are managed and tracked throughout the life of the project to ensure compliance with SOS and California State guidelines for managing project funds, state spending requirements and the terms of project approval. Overall responsibility for project Cost Management is shared between the CARS Project Director and the Political Reform Division Chief.

The SOS Project Management Office (PMO) staff maintains the real-time records of all spending actions that allow the identification of encumbered and paid costs by fiscal year. The Contract/Budget Manager is responsible for projecting contracted costs based on actual and future projected expenditures for the entire project and providing that information to the PMO and Project Director ten days after the end of each month.

The CARS Project Director reports monthly expenditures and projections to the CARS Project Sponsor along with any request to exceed, as needed, the level of spending approved in the project, if greater than five percent of the project estimate. The CARS Contract Manager provides monthly fiscal reports to the CARS Project Director.

All redirected project staff and contractors on a time and materials basis maintain timesheets. Timesheets for contractors will be collected by the Contract Manager for signature by the Project Director and returned for submission with the invoice, which is then approved by the CARS Project Director. The Contract Manager retains these for auditing purposes.

2.6 Quality Management

The CARS approach to Quality Management will be based on the Information Technology Project Oversight Framework (ITPOF) Project Management Methodology. The Quality Management Plan contains at a minimum, the following elements:

- Measurable objectives and functional requirements
- User acceptance test planning
- Regularly scheduled audits/reviews of key tasks
- Identification of QA responsibility within the ESC
- Use of project oversight and Independent Verification and Validation (IV&V) services

2.7 Staff Management

The CARS Human Resource Management Plan (HRMP) defines the processes and procedures followed during planning and acquisition of both state staff and consulting staff. The HRMP also describes the responsibilities assigned to each resource and discusses transition of staff to other assignments either during or upon completion of the CARS Project. The HRMP outlines the project hierarchy and also roles and responsibilities for each project resource.

2.8 Risk Management

CARS employs a systematic approach to risk identification, analysis, tracking, mitigation, escalation, and closure. The CARS Risk Management Plan defines the risk management processes and procedures in detail. This section briefly describes the processes related to that approach. The overall purpose of the CARS Risk Management process is to increase the likelihood of project success. This process ensures the following:

- Risks are defined and properly scoped.
- Risks and associated actions and their status are formally documented and regularly reviewed.
- The correct participants are involved in the risk analysis and mitigation process.
- Root causes are analyzed and recommendations are based on sound judgment.
- Specific persons are named to complete action items.
- Actions are tracked to resolution/completion.
- Escalation to a higher level of management is available and is pursued when mitigation or intervention cannot be achieved at the project level.
- Communication among project stakeholders is appropriate and timely to facilitate an understanding of risk impact, to develop quality responses, and to minimize the disruption associated with rumor and misinformation.
- Effective risk mitigation strategy is identified and executed to minimize impact on likely occurrence.
- Opportunities are identified and realized.
- Risk management is an ongoing process, from the inception to the closure of the project, and it is a critical component of project monitoring and control activities.

2.9 Communications Management

The CARS Communication Plan identifies planned and typical methods of exchanging information both within the project and with stakeholders and interested parties outside the project. The Communication Plan defines:

- The process to develop and issue communiqués
- Roles and responsibilities
- Content and methods of distribution

The Communication Plan may be complemented by project phase-oriented supplemental plans that will describe the unique information needs, audiences, and communication approaches/methods needed for that specific phase. The supplements will also identify dates for communication events appropriate to that phase.

2.10 Configuration Management

The SI develops and SOS approves a CARS System Configuration Management Plan in accordance with quality planning requirements in the SI RFO. The Plan describes how system deliverables are defined, baselined, maintained and managed. Both the SI and SOS will use this plan to manage configuration changes.

2.11 Contract Management

The CARS Contract Manager will be responsible for adhering to the processes set out in the CARS Contract Management Plan to manage, track, amend and close the CARS Contract.

The scope of Contract Management begins when identification of the need for a contract is made and continues through management of the contract to conclusion. Contract Management ends when all contracted services/products have been delivered, accepted and paid for, and all associated contract paperwork have been closed and files have been archived.

2.12 Issue Management

CARS employs a systematic approach to issue identification, management, escalation and closure. The CARS Issue Management Plan describes these processes in detail. The purpose of CARS Issue Management Process is to ensure the following:

- Issues are defined and properly scoped.
- The correct participants are involved in issue analysis and the resolution process.
- Root causes are analyzed and recommendations are based on sound judgment.
- Specific persons are named to complete action items.
- Actions are tracked to resolution/completion.
- Escalation to a higher level of management is available and is pursued when resolution cannot be achieved at the project level.
- Issues and associated actions and their status are formally documented and regularly reviewed.
- Communication among project stakeholders is appropriate and timely in order to facilitate an understanding of issue impact, develop quality responses, and minimize the disruption associated with rumor and misinformation.

The CARS Issue Management Plan specifies the procedures used to identify, analyze, log, and monitor issues, and to manage action items and escalation throughout the project life cycle. It

documents the approach to issue identification and analysis, the approach to escalation and how resolution is communicated and documented.

2.13 Project Assumptions and Constraints

The following assumptions were identified in the development of this plan:

- An SI vendor will be selected that can develop, support and maintain the new system after implementation.
- SOS resources (identified in the Project Charter) will be supplemented by additional staff positions and contract services for both one-time and ongoing activities.
- IT Division managed cloud services will be used by the project for development, deployment, backup, restore and disaster recovery.
- The proposed CARS solution will replace at least all existing CAL-ACCESS functionality.
- Technical staff and end users will receive training to support the new CARS system.
- The project will adhere to a strict schedule in which all milestones must be met.
- Reviewers will review and provide feedback on all project deliverables by expressed deadlines.
- Problem/issue resolution will be handled on a timely basis.
- Proactive risk management strategies will be employed to minimize risk and ensure completion of the project on schedule.
- All vendor contracts and procurements will be accomplished within planned timelines.

3 Project Execution

3.1 Project Management Plan Execution

The Project Management Plan is executed throughout the project through the established processes and procedures documented in the various management plans developed by the CARS PM and the CARS System Integrator vendor. The CARS PM is responsible for monitoring the execution of the plan and using status meetings, reports, and project metrics to ensure that the project management plan is being executed.

The following meetings and reports are used at a minimum to ensure proper execution of this plan:

- Weekly Project Status Meetings
- Project Change Control Meetings
- Monthly Status Reports
- Monthly Issue Management Meetings
- Monthly Risk Management Meetings

3.2 Information Distribution

The CARS Communication Management Plan describes how the information distribution is executed for the project. In addition, the CARS Communication Management Plan identifies the various project records and describes how these items are accessed and maintained.

3.3 System and Application Development

The CARS SI will accomplish all System and Application Development as required to meet the requirements of the CARS RFO. The vendor's implementation processes and deliverables are currently envisioned to be described in their offer. Verification of the deliverables will be described in the CARS Quality Management Plan and in deliverables of the IV&V consultant.

4 Project Control

4.1 Integrated Change Control

The processes and procedures for integrated change control (reviewing all change requests, approving changes, and managing changes to deliverables, organizational process assets, project documents, and the project management plan) are described in the CARS Change Control Plan.

The Change Control Plan identifies triggers that necessitate a decision by the Change Control Board as to whether to progress with the project. These include the ending of a phase or a request for a change in scope, schedule, or budget.

4.2 Scope Change Control

Scope is controlled to ensure that each proposed project change goes through adequate analysis, there is a strong justification for each change, and that only essential changes are approved. Refer to the CARS Change Control Plan for detailed information on Scope Change Control.

4.3 Schedule Control

The CARS PM actively monitors, tracks, and controls the scheduled activities of the SOS Project Team in accordance with the CARS Project Timeline in the MS Project. He or she also manages the timelines and deliverables of the vendor. Timelines is managed via the following:

- Weekly PM status meetings
- Bi-Weekly status reports from the Vendor Project Manager
- Independent verification of vendor deliverables from the IV&V team.
- Issue, risk, and change management as defined in the CARS Issue Management, Risk Management and Change Control Plans.

4.4 Performance Reporting

Collection and distribution of progress and performance reports are the responsibility of the CARS PM and will be accomplished via the following:

- Weekly status reports received from the SI vendor Project Manager and issues escalated from the vendor as they arise
- Weekly progress updates from the SOS Team Members on their tasks and activities
- Periodic project reports delivered in accordance with the CARS PMP

The SOS Quality Management Plan identifies performance metrics and targets. Information is collected to evaluate performance against these targets and reported weekly to the Project Director.

5 Unanticipated Tasks

As the project evolves, items may arise which would cause unanticipated tasks or costs. The processes for handling these items are addressed in the CARS Issue Management Plan, the CARS Risk Management Plan, CARS Change Control Plan and CARS Cost Management Plan.

6 Phase Close-Out and Lessons Learned

6.1 Conducting Formal Lessons Learned

Lessons learned will be conducted at the end of each phase. This information will be evaluated and the project management activities will be adjusted appropriately. Additionally the CARS PM will conduct a formal Lessons Learned session with project stakeholders and major project participants, and deliver a report on findings to the CARS Project Director that will be input for the PIER.

6.2 Contract Close-Out

This process is described in the CARS Contract Management Plan.

6.3 Administrative Closure

The CARS PM ensures that the following project closure activities are included in the overall project plan:

- Financial Closure and Audit – completing and terminating the financial and budgetary aspects of the project being performed.
- Archiving - creating and storing a hard and/or soft copy of all documentation related to the project, ensuring that all project and system deliverables and components are configured and baselined according to the CARS Configuration Plan.
- Personnel and Facilities – reassignment and reallocation of personnel and equipment that have been used during the project, as needed.